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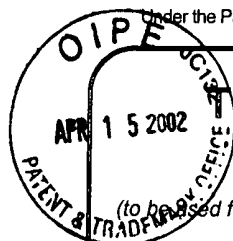
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JCO Rec'd PCT/PTO 15 APR 2002  
RPTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

<b>Application Number</b>		09/914,705		
		<b>Filing Date</b>	08/31/01	
		<b>First Named Inventor</b>	Yamada	
		<b>Group Art Unit</b>	Unassigned	
		<b>Examiner Name</b>	Unassigned	
<b>Total Number of Pages in This Submission</b>		1	<b>Attorney Docket Number</b>	082368-000000US

## ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
  - ☐ Fee Attached
- ☐ Amendment / Response
  - ☐ After Final
  - ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/Incomplete Application
  - ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition Routing Slip (PTO/SB/69) and Accompanying Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s)

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):
  - 1) eight (8) reference copies
  - 2) Return receipt postcard

Remarks

The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.

Total number of pages does not include cited references.

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm and Individual name	Townsend and Townsend and Crew LLP Joe Liebeschuetz	Reg No. 37,505
Signature		
Date	April 4, 2002	

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:

April 4, 2002

Typed or printed name	Chris Fitting		Date	April 4, 2002
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PA 3212638 v1



PATENT  
Attorney Docket No.: 082368-000000US  
Client Reference No.: K4-004PCT-US

#4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Yamada et al.

Application No.: 09/914,705

Filed: August 31, 2001

For: Vaccine Preparation Containing  
Fatty Acid as a Constituent

Examiner: Unassigned

Art Unit: Unassigned

INFORMATION DISCLOSURE  
STATEMENT UNDER 37 CFR §1.97 and  
§1.98

Assistant Commissioner for Patents  
Washington, D.C. 20231

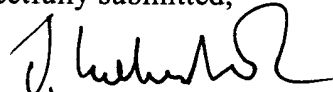
Sir:

The references cited on attached form PTO/SB/08A and PTO/SB/08B are being called to the attention of the Examiner. Copies of the references are enclosed. It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information, and no inference should be made that the information and references cited are, or are considered to be material to patentability because they are in this statement. No inference should be made that the information and references cited are prior art merely because they are in this statement.

Applicant believes that no fee is required for submission of this statement, since it is being submitted prior to the first Office Action. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,



Joe Liebeschuetz  
Reg. No. 37,505

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Substitute for form 1449A/PTO

# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

1

of

## **Complete if Known**

Application Number	09/914,705
Filing Date	August 31, 2001
First Named Inventor	YAMADA
Group Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	082368-000000US

## **U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			

## **FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
	AA	PCT	WO 96/32964	A1		10-24-1996		abst. only
	AB	PCT	WO 96/06627	A1		03-07-1996		
	AC	JP	7-173069	A		07-11-1995		abst. only
	AD	JP	5-9130	A		01-19-1993		abst. only

Examiner  
Signature

Date  
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

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of

**Complete if Known**

Application Number	09/914,705
Filing Date	August 31, 2001
First Named Inventor	YAMADA
Group Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	082368-000000US

APR 15 2002

**OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	AE	KELLEY et al, "Effects of Dietary Arachidonic Acid on Human Immune Response," <u>Lipids</u> , 32(4):449-457 (1997).	
	AF	MARUNO, M., "Research for active principles of Pinelliae Tuber and new preparation of crude drug," <u>J. Traditional Medicines</u> , 14:81-88 (1997).	
	AG	PARMENTIER, et al., "Dietary Unsaturated Fatty Acids Affect Antibody Responses and Growth of Chickens Divergently Selected for Humoral Responses to Sheep Red Blood Cells," <u>Poultry Science</u> , 76:1164-1171 (1997).	
	AH	YAMADA et al., "In Vivo Antiinfluenza Virus Activity of Kampo Medicine Sho-Seiryu-To Through Mucosal Immune System," <u>Meth. Find Exp. Clin. Pharmacol.</u> , 20(3):185-192 (1998).	

Examiner  
SignatureDate  
Considered

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